

Form: PTO-1390  
(Rev. 12-29-99)

US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NO.

**M 6677 PCT/US HST****TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known see 37 CFR 1.5)

**09/914056**INTERNATIONAL APPLICATION NO.  
**PCT/US00/05766**INTERNATIONAL FILING DATE  
**March 3, 2000**PRIORITY DATE CLAIMED  
**3/4/99, 8/9/99 and 10/7/99**

## TITLE OF INVENTION

**COMPOSITION AND PROCESS FOR TREATING METAL SURFACES**

## APPLICANT(S) FOR DO/EO/US

Bruce H. Goodreau, Robert W. Miller, Thomas J. Prescott, Christopher A. Engel, Michael A. Murphy, James P. Bershas, and John R. Pierce

Applicant herewith submits to the United States Designated/Elected Office (EO/DO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39 (1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An unexecuted oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:

"Express Mail" mailing label number EL 615775556US

U.S. Application No. (If known, see 37 CFR 1.5) <div style="font-size: 1.5em; font-weight: bold;">09/914056</div>	INTERNATIONAL APPLICATION NO. <b>PCT/US00/05766</b>	ATTORNEY'S DOCKET NUMBER <b>M 6677 PCT/US HST</b>
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17. ■ The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....**\$970.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....**\$860.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....**\$690.00**

International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... **\$670.00**

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4).....**\$96.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

<b>CALCULATED</b>	<b>NS</b>	<b>PT USE ONLY</b>																				
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date 37 (CFR 1.492(e)).	\$ 0																					
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 40%;">RATE</th> </tr> </thead> <tbody> <tr> <td>Total Claims</td> <td style="text-align: center;">23 - 20 =</td> <td style="text-align: center;">3</td> <td>3 X \$18.00</td> </tr> <tr> <td>Independent Claims</td> <td style="text-align: center;">1 - 3 =</td> <td style="text-align: center;">0</td> <td>0 X \$78.00</td> </tr> <tr> <td>Multiple dependent claims (s)(if applicable)</td> <td style="text-align: center;">0</td> <td></td> <td>+ \$260.00</td> </tr> <tr> <td colspan="3" style="text-align: right;"><b>TOTAL OF ABOVE CALCULATIONS</b></td> <td style="text-align: center;"><b>=</b></td> </tr> </tbody> </table>	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total Claims	23 - 20 =	3	3 X \$18.00	Independent Claims	1 - 3 =	0	0 X \$78.00	Multiple dependent claims (s)(if applicable)	0		+ \$260.00	<b>TOTAL OF ABOVE CALCULATIONS</b>			<b>=</b>	\$ 860	
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Total Claims	23 - 20 =	3	3 X \$18.00																			
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<b>TOTAL OF ABOVE CALCULATIONS</b>			<b>=</b>																			
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).	\$ 0																					
<b>SUBTOTAL</b>	<b>=</b>	\$ 914																				
Processing fee of <b>\$130.00</b> for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).	\$ 0																					
<b>TOTAL NATIONAL FEE</b>	<b>=</b>	\$ 914																				
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property	\$ 0																					
<b>TOTAL FEES ENCLOSED</b>	<b>=</b>	\$ 914																				
		Amount to be refunded: \$-----  charged: <b>\$ 914.00</b>																				

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ■ Please charge my Deposit Account No. 01-1250 in the amount of **\$914.00** to cover the above fees. A triplicate copy of this sheet is enclosed. Order No. 01-0607.

c. ■ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 01-1250. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:    Henkel Corporation, Law Dept.  
 2500 Renaissance Blvd., Suite 200  
 Gulph Mills, PA 19406

Daniel S. Ortiz

SIGNATURE:

Daniel S. Ortiz  
 NAME ATTORNEY FOR APPLICANT  
25,123  
 REGISTRATION NUMBER